



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/735,321	12/12/2003	Alain Azagury	IL920030052US1	2268

7590 12/11/2009  
IBM CORPORATION  
INTELLECTUAL PROPERTY LAW DEPT.  
P.O. BOX 218  
YORKTOWN HEIGHTS, NY 10598

EXAMINER
----------

ENGLAND, DAVID E

ART UNIT	PAPER NUMBER
----------	--------------

2443

MAIL DATE	DELIVERY MODE
-----------	---------------

12/11/2009

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 10/735,321	<b>Applicant(s)</b> AZAGURY ET AL.	
	<b>Examiner</b> DAVID E. ENGLAND	<b>Art Unit</b> 2443	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 17 September 2009.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 38 and 39 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 38,39 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)                     | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)          | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____  | 6) <input type="checkbox"/> Other: _____                          |

### DETAILED ACTION

1. Claim 38 is presented for examination.

#### *Double Patenting*

2. The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the “right to exclude” granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory obviousness-type double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent either is shown to be commonly owned with this application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement.

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

3. Claim 38 is provisionally rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 1 – 7 and 34 – 36 of copending Application No. 12/062211. Although the conflicting claims are not identical, they are not patentably distinct from each other because Applicant attempts to overcome the double patenting rejection by changing emulation processor with emulation “device” in 12/062211. It is obvious that the device has a processor which could be interpreted as having all the functionality of the copending case that is still a processor.

Art Unit: 2443

This is a provisional obviousness-type double patenting rejection because the conflicting claims have not in fact been patented.

The subject matter claimed in the instant application is fully disclosed in the referenced copending application and would be covered by any patent granted on that copending application since the referenced copending application and the instant application are claiming common subject matter, as follows:

Application 10/735321.  38. A computer system, comprising:  a local area network (LAN);  a plurality of computers without on-board user interface controllers, each of the computers comprising at least one central processing unit (CPU) and a LAN interface, the LAN interface being coupled to communicate over the LAN;  a console comprising a user input device and a user output device, said console being coupled to communicate over the LAN such that the console conveys an input received via the user input device over the LAN to each of the computers and to receive an output generated by each of the computers over the LAN for display	Application 12/062211  1. A computer system, comprising:  a local area network (LAN);  a plurality of computers without on-board user interface controllers, each of the computers comprising at least one central processing unit (CPU) and a LAN interface, the LAN interface being coupled to communicate over the LAN;  and  a console comprising a user input device and a user output device, said console being coupled to communicate over the LAN such that the console conveys an input received via the user input device over the LAN to each of the computers and to receive an output generated by each of the computers over the LAN for
--	---

using the user output device; and	display using the user output device,  Also, Claims 8, 13, 17, 24 and 31.
wherein the plurality of computers and the console are arranged to communicate over the LAN by transmitting Layer 2 data frames,	2. The system according to claim 1, wherein the computers and the console are arranged to communicate over the LAN by transmitting Layer 2 data frames.  Also, Claims 18, 25 and 32.
wherein the plurality of computers and the console are arranged to convey the input and the output by tunneling over Layer 2 on the LAN,	3. The system according to claim 2, wherein the computers and the console are arranged to convey the input and the output by tunneling over Layer 2 on the LAN.  Also, Claims 19, 26, 33.
wherein the plurality of computers and the console are arranged to encapsulate the input and output in any of Internet Protocol (IP) packets for transmission over the LAN and using an application-layer protocol,	4. The system according to claim 2, wherein the computers and the console are arranged to encapsulate the input and output in Internet Protocol (IP) packets for transmission over the LAN.  5. The system according to claim 2, wherein the computers and the console are arranged to encapsulate the input and output using an application-layer protocol.

	Also, Claims 20, 21, 27 and 28.
an input/output (I/O) device, coupled to the LAN,  wherein the plurality of computers are arranged to transmit I/O commands over the LAN to the I/O device and comprise no on-board I/O device controllers,	1. an input/output (I/O) device coupled to the LAN,  wherein the plurality of computers are arranged to transmit I/O commands over the LAN to the I/O device and are without on-board I/O device controllers, and
wherein each of the computers further comprises an emulation processor, said emulation processor coupled to trap the I/O commands from the at least one CPU while emulating the I/O device, and to encapsulate the I/O commands in data frames for transmission over the LAN to the I/O device such that the I/O device is caused to fulfill the commands,	1. wherein each of the computers further comprises an emulation device, said emulation device coupled to trap the I/O commands from the at least one CPU while emulating the I/O device and to encapsulate the I/O commands in data frames for transmission over the LAN to the I/O device such that the I/O device is caused to fulfill the I/O commands,
wherein the emulation processor is arranged to encapsulate the I/O commands in any of Ethernet frames,  Internet Protocol (IP) packets, and  using an application-layer protocol.	34. The method according to claim 33,  wherein transmitting the Layer 2 data frames comprises conveying the I/O commands by encapsulating the I/O commands in Internet Protocol (IP) packets

Art Unit: 2443

	<p>for transmission over the LAN.</p> <p>35. The method according to claim 33, wherein transmitting the Layer 2 data frames comprises conveying the I/O commands by encapsulating the I/O commands using an application-layer protocol.</p> <p>36. The method according to claim 33, wherein transmitting the Layer 2 data frames comprises transmitting Ethernet frames.</p> <p>Also, Claims 9 – 11, 14 – 16 and 29.</p>
--	---

Furthermore, there is no apparent reason why applicant would be prevented from presenting claims corresponding to those of the instant application in the other copending application. See *In re Schneller*, 397 F.2d 350, 158 USPQ 210 (CCPA 1968). See also MPEP § 804.

### ***Claim Rejections - 35 USC § 112***

4. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Art Unit: 2443

5. Claims 38 and 39 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

6. Claim 38 claims the device transmitting I/O commands over a LAN and then contradicts its previous limitation by stating that there are no on-board I/O device controllers, i.e., to be able to transmit and receive information over a network there needs to be some type of controller to perform this function. Applicant is asked to amend the claim limitations to clarify what is truly meant by the invention.

7. Claim 39 claims the plurality of computers comprising "main memory", "system controllers comprising: internal bus, memory controller, peripheral interface ports" and then at the end of the claim states that the plurality of computers has not local storage, no I/O interface and not I/O controllers other than the LAN interface. This is completely contradictory and does not make sense as to how this claimed system is to function or look if there are so many opposing limitations in the same claim. Applicant is asked to amend the claim language to clearly claim what is meant and found in the specification.

### ***Claim Rejections - 35 USC § 103***

8. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Art Unit: 2443

9. Claim 38 is rejected under 35 U.S.C. 103(a) as being unpatentable over Dai (2005/0049848) in view of Autrey et al. (5774695), hereinafter Autrey.

10. Referencing claim 38, as closely interpreted by the Examiner, Dai teaches a computer system, comprising:

11. a local area network (LAN), (e.g., ¶ 0027);

12. a plurality of computers without on-board user interface controllers, each of the computers comprising at least one central processing unit (CPU) and a LAN interface, the LAN interface being coupled to communicate over the LAN, (e.g., ¶ 0031 & Figures 1 – 3, The server is controlled through the network from another node.);

13. a console comprising a user input device and a user output device, said console being coupled to communicate over the LAN such that the console conveys an input received via the user input device over the LAN to each of the computers and to receive an output generated by each of the computers over the LAN for display using the user output device, (e.g., ¶ 0029 & Figure 2 & ¶ 0041, “API” ); and

14. an input/output (I/O) device, coupled to the LAN, (e.g., ¶ 0029 & Figure 2),

15. wherein the plurality of computers and the console are arranged to communicate over the LAN by transmitting Layer 2 data frames, (e.g., ¶ 0029 VPN),

16. wherein the plurality of computers and the console are arranged to convey the input and the output by tunneling over Layer 2 on the LAN, (e.g., ¶ 0029 VPN),

Art Unit: 2443

17. wherein the plurality of computers are arranged to transmit I/O commands over the LAN to the I/O device and comprise no on-board I/O device controllers, (e.g., ¶ 0031 & Figures 1 – 3, The server is controlled through the network from another node.),

18. wherein each of the computers further comprises an emulation processor, said emulation processor coupled to trap the I/O commands from the at least one CPU while emulating the I/O device, and to encapsulate the I/O commands in data frames for transmission over the LAN to the I/O device such that the I/O device is caused to fulfill the commands, (e.g., ¶ 0033 – 0035, 0054),

19. wherein the emulation processor is arranged to encapsulate the I/O commands in any of Ethernet frames, Internet Protocol (IP) packets, (e.g., ¶ 0007), but does not specifically teach wherein the plurality of computers and the console are arranged to encapsulate the input and output in any of Internet Protocol (IP) packets for transmission over the LAN and using an application-layer protocol,

20. wherein the emulation processor is arranged to encapsulate the I/O commands using an application-layer protocol.

21. Autrey teaches wherein the plurality of computers and the console are arranged to encapsulate the input and output in any of Internet Protocol (IP) packets for transmission over the LAN and using an application-layer protocol, (e.g., col. 2, lines 13 – 25 & col. 8, lines 3 – 24s);

22. wherein the emulation processor is arranged to encapsulate the I/O commands using an application-layer protocol, (e.g., col. 2, lines 13 – 25 & col. 8, lines 3 – 24). It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine Autrey

Art Unit: 2443

with Dai because if one is to test and run a network using an emulation, then one would need to test all layers of the OSI model so a user know that the complete network topology is working correctly and not just one or two layers.

### ***Response to Arguments***

23. Applicant's arguments filed 02/03/2009 have been fully considered but they are not persuasive.

24. **In the Remarks**, Applicant argues in substance that the copending Application No. 12/062211 claims 1 – 37 have different scope than this application.

25. As to this Remark, Applicant's arguments fail to comply with 37 CFR 1.111(b) because they amount to a general allegation that the claims define a patentable invention without specifically pointing out how the language of the claims patentably distinguishes them from the references.

26. **In the Remarks**, Applicant argues in substance that Dai does not teach the limitations of “a plurality of computers without on-board user interface controllers, each of the computers including at least one central processing unit (CPU and a LAN interface, the LAN interface being coupled to communicate over the LAN” and “wherein each of the computers comprises an emulation processor, which is coupled to trap the I/O commands from the at least one CPU while emulating the I/O device, and to encapsulate the I/O commands in data frames for transmission over the LAN to the I/O device, so as to cause the I/O device to fulfill the commands” because Dai teaches a logical over physical storage that is located at the “slave-end” of the master-slave

Art Unit: 2443

relationship and using a device to emulate another device in a similar class is not related and is clearly differentiated from the claimed invention.

27. As to this remark, the Examiner has all ready addressed similar arguments in the Advisory Action mailed on 09/04/2009. Applicant is asked to view the Advisory Action and the new rejections as stated above

28. **Applicant is now advised to contact the Examiner for an interview to further prosecution since it appears that the Applicant does not understand the Examiner's interpretation of their claim language and how broad they can be interpreted.**

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to DAVID E. ENGLAND whose telephone number is (571)272-3912. The examiner can normally be reached on Mon-Thur, 7:30-5:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Tonia Dollinger can be reached on 571-272-4170. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 2443

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

David E. England  
Primary Examiner  
Art Unit 2443

/David E. England/  
Primary Examiner, Art Unit 2443